

DEPARTMENT OF  
PUBLIC HEALTH AND HUMAN SERVICES



BRIAN SCHWEITZER  
GOVERNOR

JOAN MILES  
DIRECTOR

STATE OF MONTANA

[brjohnson@state.mt.us](mailto:brjohnson@state.mt.us)

DEVELOPMENTAL DISABILITIES PROGRAM  
300 N WILLSON STE 3001  
BOZEMAN MT 59715-3752  
406-587-6066 – VOICE  
406-586-8924 – FAX

January 3, 2008

John O'Donnell, President  
Board of Directors  
AWARE Inc.  
118 E 7<sup>th</sup> Street  
Anaconda, MT 59047

Dear Mr. O'Donnell,

Following is the Quality Assurance Final Report of AWARE Inc.'s Intensive Family Education and Support Services. It is a pleasure working with such a conscientious and professional staff as is present with the IFES services. Please feel free to call me if you have any questions concerning this report. I am available to assist any way as to further facilitate the delivery of quality and compassionate services. I was assisted in this review by Paula Sherwood, the QIS for Region V and Jan McManamen, a QIS in Butte.

Sincerely,

Brad Johnson

Brad Johnson, M.S.  
Quality Improvement Specialist

cc: Larry Noonan, Executive Director, AWARE Inc.  
Tim Plaska, Community Services Bureau Chief, DDP  
Larry Lovelace, Region IV Manager, DDP  
Paula Tripp, Region V Manager, DDP  
Paula Sherwood, QIS, DDP  
Jan McManamen, QIS, DDP  
John Zeeck, Quality Assurance, DDP  
Perry Jones, Medicaid Waiver, DDP  
Jackie Emerson, Child and Family Specialist, DDP

Annual Summary Report  
Comprehensive Evaluation  
AWARE Inc. – Intensive Family Education and Support  
Regions IV and V  
6/06 – 12/07

**GENERAL AREAS**

**A. Administrative**

**1. Significant Events from the Agency**

AWARE Inc. became a qualified provider of DD IFES services on 4/25/02 for Regions IV and V (Western and South Central Montana). Effective July 1, 2007, AWARE, Inc. became a qualified provider of these services in all regions of the State. They are now serving families and children in a number of different communities.

**2. Policies and Administrative Directives**

A thorough review of the AWARE Inc. policy manual for IFES was conducted. All policies required by the review were in place. The Incident Management policy was out-of-date and DDP supplied an updated version to the Bozeman Aware office.

**3. Accreditation**

AWARE Inc. received CARF accreditation in 2006.

**4. Fiscal Audits**

For the most current Desk Review of Audit Report dated 3/12/07, the opinions on the financial statements and compliance for major programs are unqualified, no material weaknesses concerning the financial statements were disclosed and no reportable conditions or findings to the audit of the major federal program were reported. There was one reportable condition that was disclosed concerning a lack of segregation of duties. The next audit report is due soon and it will be reviewed at that time.

**5. Appendix I**

There are no specific requirements listed in Appendix I of the DDP Contract for FY '07.

**6. Maintenance of Records**

All three surveyors found good and sufficient records relating to the delivery of IFES services.

**SPECIFIC SERVICES OF THE PROVIDER**

**A. Children's Waiver Services**

AWARE Inc. is currently certified by the Developmental Disabilities Program to provide Intensive Family Education and Support services. One home visit and file review was conducted by Paula Sherwood, QIS, in the Kalispell area, two home visits and file review was conducted in the

Butte area by Jan McManamen, QIS and one home visit and file review was conducted in Bozeman by Brad Johnson, QIS.

### **Eligibility**

Eligibility is a mixed picture here as some kids have ported their services and initial DD eligibility was done elsewhere. All four surveyed were clearly eligible for intensive services with sufficient assessments and documentation. Eligibility review panels (ERPS) are conducted when needed. Assessments are updated as needed.

#### **1. Family Centered Services**

All families indicated that they felt they were in the driver's seat regarding the services provided to their child. There were indications from the families that the plans were flexible and that it was easy to have objectives modified.

#### **2. IFSP**

Per the checklist, all components of the IFSP were present for all four files reviewed. Copies of written notices of IFSP meetings were not found in all the file reviews.

#### **3. Provision of Resources and Support**

Families indicated that they received the services agreed upon in the IFSP and that they were provided within the timelines specified. Turnover of staff was unsettling for some families but this is not a situation unique to this service provider. Respite time sheets were completed correctly and there were receipts for purchases. There was ample documentation of family contacts with the FSS.

#### **4. Timelines**

All timelines relating to IFES, (IFSPs and cost plans) were met for the four individuals surveyed.

#### **5. Transition Planning**

For those surveyed that it was appropriate, transitioning was discussed, addressed and documented in the IFSP.

#### **6. Procedural Safeguards**

Families felt that the personal information contained in the records were secure, they felt comfortable that they could access them at any time and information would not be given out without their permission. There was ample evidence of signed releases of information. Families are provided with a copy of the internal complaint procedure for appealing agency decisions upon intake. Families were advised upon intake that their services were portable but did not remember being reminded of that at the annual IFSP meetings.

#### **7. Other Contract Requirements**

Family Support Specialist certification is being addressed through the DDP Central Office.

## **SUMMARY AND RECOMMENDATIONS:**

All four families that were surveyed expressed significant satisfaction with the services received from AWARE Inc. through the IFES program. "Family was extremely pleased with services with no complaints or suggestions for improvement." All three surveyors were very pleased with the responses of parents and the apparent quality of services being delivered. It was especially impressive as to how well the policy manual and the documentation at the FSS level were in compliance.

### **Findings:**

None

### **Response to Findings:**

None needed

### **Suggestions – Best Practices (not binding)**

- 1) Date and sign everything! There were some documents for which it was hard to determine when they were created and by whom.

Brad Johnson

1/3/08

**Brad Johnson, M.S.**

**Lead Surveyor, Quality Improvement Specialist  
Developmental Disabilities Program**



|    |   |        |   |           |          |          |          |          |        |
|----|---|--------|---|-----------|----------|----------|----------|----------|--------|
|    | A   | B      | C | D         | E        | F        | G        |          |        |
| 1  | 1=consistently exceeds standard 2= consistently meets standard; 3=inconsistently meets standard 4=does not meet expectation/standard.   |        |   |           |          |          |          |          |        |
| 2  | Family Education & Support  | pg     | 3 |           |          |          |          |          |        |
| 3  | Provider Name:  |        |   |           |          |          |          |          |        |
| 4  | Comprehensive Evaluation - 12/8/06  | Sample | > | Part C 1  | Part C 2 | Part C 3 | Part C 4 | Part C 5 | QAOS # |
| 5  | FSS   |        |   | >         |          |          |          |          |        |
| 6  | STANDARD  |        |   | FILE NAME | >        |          |          |          |        |
| 7  | PUBLIC AWARENESS & CHILD FIND EFFORTS   |        |   |           |          |          |          |          |        |
| 8  | 1. Ongoing child find & public awareness system in place, coordinated w/ other local  |        |   |           |          |          |          |          |        |
| 9  | efforts such as HeadStart, schools, etc....   |        |   |           |          |          |          |          |        |
| 10 | ELIGIBILITY   |        |   |           |          |          |          |          |        |
| 11 | 1. Evaluations & assessments (eligible & ineligible) are individualized & multidimensional? (multiples methods, domains, disciplines and content areas)<br>2. Eligibility established under state definition of Part C (established condition, 50% delay in one developmental area, or 25% delays in two developmental areas)?<br>3. Children are exited when they become three years of age?<br>4. Services are immediate for a child who is clearly eligible (eligibility determination does not create a delay in service initiation). |        |   |           |          |          |          |          |        |
|    |   |        |   |           |          |          |          |          |        |
|    |   |        |   |           |          |          |          |          |        |
|    |   |        |   |           |          |          |          |          |        |
|    |   |        |   |           |          |          |          |          |        |
| 18 | TIMELINES   |        |   |           |          |          |          |          |        |
| 19 | 1. Contact is made w/ families within 2 working days of initial referral?   |        |   |           |          |          |          |          |        |
| 20 | 2. If 2 day timeline is not met, reasons are clearly documented why not?  |        |   |           |          |          |          |          |        |
| 21 | 3. Evaluations are completed & IFSP is in place w/in 45 days of referral date?  |        |   |           |          |          |          |          |        |
| 22 | 4. If 45 day timeline is not met, there is documentation as to why not?   |        |   |           |          |          |          |          |        |
| 23 | 5. Interim IFSPs are in place where the 45 day timeline is not met?   |        |   |           |          |          |          |          |        |
| 24 | 6. Transitions planning meetings take place at least 90 days before the child's 3rd birthday?   |        |   |           |          |          |          |          |        |
| 25 | TRANSITION PLANNING   |        |   |           |          |          |          |          |        |
| 26 | 1. Families are aware from onset that services end when the child turns 3?  |        |   |           |          |          |          |          |        |
| 27 | 2. Formal or informal interagency agreements are in place to support smooth transition for children & families to preschool services?   |        |   |           |          |          |          |          |        |
| 28 | 3. Families are made aware of difference & similarities between Part C/Part B services?   |        |   |           |          |          |          |          |        |
| 29 | 4. IFSPs consistently include at least one outcome-related objective to detail steps to be taken to support smooth transition to preschool or other services (child 30 months+).  |        |   |           |          |          |          |          |        |
| 30 |   |        |   |           |          |          |          |          |        |
| 31 |   |        |   |           |          |          |          |          |        |
| 32 | PROCEDURAL SAFEGUARDS   |        |   |           |          |          |          |          |        |
| 33 | 1. The agency secures the appointment of surrogate parents for children in need?  |        |   |           |          |          |          |          |        |
| 34 | 2. IFSP process/form allows families to approve provision of some services without jeopardizing others?   |        |   |           |          |          |          |          |        |
| 35 |   |        |   |           |          |          |          |          |        |
| 36 | NOTATIONS OR OTHER COMMENTS   |        |   |           |          |          |          |          |        |
| 37 |   |        |   |           |          |          |          |          |        |
| 38 |   |        |   |           |          |          |          |          |        |
| 39 |   |        |   |           |          |          |          |          |        |
| 40 |   |        |   |           |          |          |          |          |        |
| 41 |   |        |   |           |          |          |          |          |        |
| 42 |   |        |   |           |          |          |          |          |        |
| 43 |   |        |   |           |          |          |          |          |        |
| 44 |   |        |   |           |          |          |          |          |        |
| 45 |   |        |   |           |          |          |          |          |        |
| 46 |   |        |   |           |          |          |          |          |        |
| 47 |   |        |   |           |          |          |          |          |        |

|  |  |          |  |        |        |        |
|--|--|----------|--|--------|--------|--------|
| =consistently exceeds standard 2= consistently meets standard 3=inconsistently meets standard 4=does not meet expectation/standard.  |  |          |  |        |        |        |
| Family Education & Support   |  | pg 4     |  |        |        |        |
| Provider Name: AWARE Inc.  |  |          |  |        |        |        |
| Comprehensive Evaluation   |  | Sample > |  | IFES 1 | IFES 2 | IFES 3 |
|  |  |          |  | IFES 4 | IFES 5 | QAOS # |
| STANDARD   |  | FSS      |  |        |        |        |
| FILE NAME :  |  |          |  |        |        |        |
| ELIGIBILITY  |  |          |  |        |        |        |
| 1. Eligibility established under the waiver (established condition of developmental disability, meets intensive level of care for low skill, behavioral or medical needs, documented jeopardy of ICFMR placement in absence of waiver).                              |  | 2        |  |        |        |        |
| 2. Evidence that there is no concurrent waiver service (IFES, PD Waiver, Target CM)  |  | 2        |  |        |        |        |
| 3. Parents are informed of feasible alternatives under IFES program, including ICFMRs?   |  | 2        |  |        |        |        |
| FAMILY CENTERED SERVICES   |  |          |  |        |        |        |
| 1. Do foster families meet with the child prior to placement, as well as the natural parents where appropriate and possible?   |  | 2        |  |        |        |        |
| 2. Do trial visits with prospective foster families occur prior to a placement decision?   |  | 2        |  |        |        |        |
| IFSP   |  |          |  |        |        |        |
| 1. Are habilitative programs carried out according to the IFSP?  |  | 2        |  |        |        |        |
| 2. Are all services provided under IFES required by the IFSP?<br>( for children & families to preschool services?)   |  | 2        |  |        |        |        |
| 3. Have parents been notified at the annual IFSP that services are portable?   |  | 2        |  |        |        |        |
| TRANSITION PLANNING  |  |          |  |        |        |        |
| 1. Is there evidence that families are made aware that services will end if the IFSP team determines that IFES services are no longer required, or if the IFSP team determines the needs of the child exceed available resources?                                    |  | 2        |  |        |        |        |
| 2. Is there evidence that steps are taken to support the smooth transition of services to adult services, including adult Case Management, particularly for those persons transitioning out by age 22? (are objectives written & implemented to support transition?) |  | 2        |  |        |        |        |
| PROCEDURAL SAFEGUARDS  |  |          |  |        |        |        |
| 1. Are all IFES foster homes licensed in accordance with relevant rules, with copies of licenses available on request?   |  | 2        |  |        |        |        |
| 2. Is documentation available from DDP and the agency Board of Directors for purchases \$4000 or more?   |  | 2        |  |        |        |        |
| 3. Do all adaptive equipment & environmental modifications reviewed meet waiver criteria (not room & board, no general utility for someone without a disability, relate specifically to the disability)?   |  | 2        |  |        |        |        |
| 4. Is more than one person with severe disabilities placed in any foster home?   |  | 2        |  |        |        |        |
| 5. The agency coordinated foster family recruitment & results with HHS Foster Services?  |  | 2        |  |        |        |        |
| OTHER CONTRACT REQUIREMENTS  |  |          |  |        |        |        |
| 1. Documentation of at least one contact per month with or on behalf of each family?   |  | 2        |  |        |        |        |
| 2. Contacts are for the purpose of providing support coordination, direct services or supervision/consultation to subcontracted personnel?   |  | 2        |  |        |        |        |
| 3. Are possible or actual moves from natural to foster home (or foster to natural) reported to the Regional Manager as soon as possible?   |  | 2        |  |        |        |        |
| 4. Is there documentation of agreements with families/subcontracted personnel to provide paid habilitation services?   |  | 2        |  |        |        |        |
| pg 4 continued   |  |          |  |        |        |        |
| 5. As openings occur, does the contractor notify the Regional Office within 10 days of the opening, & are complete referrals/updates submitted to the Regional Office in 10 days?  |  | 2        |  |        |        |        |
| 6. Are cost plans for IFES revised at least every 6 months?  |  | 2        |  |        |        |        |
| COMMENTS:  |  |          |  |        |        |        |